

ALABAMA DRYCLEANING ENVIRONMENTAL RESPONSE TRUST ADVISORY BOARD

INSTRUCTIONS FOR COMPLETING PAYMENT REQUEST FORMS

GENERAL INFORMATION

The Board requires that all payment requests (application for reimbursement) for costs of response actions shall be submitted in the format established by the Board and described in this guidance. The payment request can only be submitted after the completion of pre-approved phases of work unless otherwise authorized by the Board. The Board requires written documentation of the activities conducted be submitted prior to or concurrently with the submittal of a payment request.

PROPER FORMS

The Board will only accept payment requests which are submitted on current Board payment request forms, Part I, II, and III. No modifications to the forms are allowed. Approved Drycleaner Environmental Consultants (ADEC) may reproduce the form on their own computer system provided the form they reproduce is formatted in the same manner the Board form is formatted and the type size and format are identical to the Board form. Submittal of in-house generated payment request forms which are either altered or the presentation is not similar to the Board's will be returned to the owner/operator and/or ADEC without review.

WHEN TO SEND IN THE PAYMENT REQUEST

The Board requires payment requests to be submitted within one year of the date of the approval of the associated cost proposal to be eligible for payments from the Alabama Drycleaning Environmental Response Trust Fund (Fund). Submittal of costs which were incurred greater than one year before the submittal of the payment request will not be eligible for reimbursement, unless otherwise determined by the Board. Payment requests can only be submitted after completion of the work associated with the payment requests. Each payment request should have a previously-approved cost proposal which corresponds to the work activities performed unless otherwise authorized by the Board.

WHERE TO SEND THE PAYMENT REQUEST

All payment requests are to be submitted to the Board and should be submitted to the attention of the Board's Engineer. Submit complete payment requests to:

Alabama Drycleaning Environmental Response Trust Advisory Board
ATTN: Board Engineer
610 South McDonough Street
Montgomery, Alabama 36104

HOW MANY COPIES OF A PAYMENT REQUEST SHOULD BE SUBMITTED?

Only two signed and properly completed payment requests should be submitted to the Board.

PAYMENT REQUEST REVIEW PROCESS

Upon receipt of a payment request, the initial review of the payment request is conducted by the Board's Engineer. The initial review includes a detailed evaluation of the invoices submitted, a determination of reasonable rate charges, a determination of approved costs, and verification of the payment of the deductible, when applicable. If the initial review reveals that unreasonable costs have been charged, unapproved charges have been made, invoices are inadequate, or the payment request forms have been improperly completed, the owner will be contacted for

further information. The Board will not consider incomplete claims for payment requests or claims for payment requests not properly submitted to the Board. Costs which exceed the pre-approved amount authorized in the associated cost proposal will then receive a technical review by the Board's Engineer to determine if the proposed costs are eligible for reimbursement. Upon completion of the payment request and technical review, the Board's Engineer will make a recommendation to the Board. In accordance with Rule 287-1-1-.03(8), "Board action on any claim shall be taken by a majority of the Board present.

PAYMENT OF DEDUCTIBLE

The owner or operator of a drycleaning facility must provide the first \$10,000 of eligible response action costs. The owner or operator of a wholesale distribution facility must provide for the first \$50,000 of eligible response action costs. The first approved payment request will be reduced by the appropriate amount.

INVOICES

The Board requires invoices be provided for every item submitted for reimbursement. ADECs must submit personnel invoices documenting the charges being made to the owner or operator by the ADEC. In addition, all charges for well drilling, analytical costs, equipment rental or purchase, and other applicable items must be presented. Itemized time sheets are not required as long as the invoices document the time periods for which the charges were incurred. All invoices should be legible and must represent the actual charges being made to the owner and operator. Failure to supply proper invoices will result in delay of the payment request processing or complete denial of those costs.

PAYMENT REQUEST REVIEW TIME FRAMES

When possible, the Board will review submitted payment requests and begin issuance of the reimbursement check within ninety (90) days of receipt of the payment request. However, if payment requests are submitted which are incomplete or contain ineligible costs, the issuance of reimbursement will be delayed due to the increased labor efforts required to review the payment request. Payment requests which are deficient will be placed in an inactive status until the deficiency is addressed.

ITEMS WHICH WILL CAUSE DELAYS IN PROCESSING THE PAYMENT REQUEST

The following items will cause delays in the processing of a submitted payment request:

1. Failure to submit the payment request on approved Board payment request forms.
2. Submittal of costs which exceed the reasonable rates established by the Board.
3. Inclusion of ineligible costs on the payment request forms.
4. Failure to provide the detailed information as requested on the forms.
5. Failure to sign the payment request.
6. Failure to submit invoices as supporting documentation.
7. Failure to sign all certifications.
8. Submittal of ineligible invoices or forms.

QUESTIONS REGARDING THE PAYMENT REQUEST

Upon review of a payment request, the Board will issue a reimbursement for eligible costs. The owner or operator has a thirty (30) day period from receipt of the check to present information to the Board to justify any disallowed costs. Initial questions regarding any disallowed costs may be directed to the Board's Engineer. Information which justifies disallowed costs must be submitted in writing to the Board's Engineer at the following address:

Alabama Drycleaning Environmental Response Trust Advisory Board
ATTN: Board Engineer
610 South McDonough Street
Montgomery, Alabama 36104

SPECIFIC INSTRUCTIONS

All payment requests must be submitted on the most current Board payment request form, Parts I, II, and III. These forms comprise a full payment request. The following instructions are a step-by-step description of how to complete the payment request form.

PART I – PAYMENT REQUEST INFORMATION

I.1. Payment Request Information

Payment Request Number

- Enter the consecutive payment request number (i.e. 1, 2, 3, etc.). Only numbers should be entered into this field unless otherwise directed by the Board. Each payment request should directly correspond with the number of the associated cost proposal. Multiple payment requests associated with one cost proposal will not be accepted. If the Board authorizes emergency funds for a site, the Board's written authorization will be considered the cost proposal, and the submitted payment request should reflect the next consecutive number in the progression of cost proposals/payment requests.

Date of Payment Request

- Enter the date on which the payment request is being delivered to the Board.

Incident Number

- Enter the drycleaner incident number into this field. The incident number is assigned by the Board when first cost proposal is submitted to the Board.

EPA I.D. Number

- If applicable, enter the 14-digit facility I.D. number into this field (EPA numbers are assigned to certain classes of generators of hazardous waste in addition to treatment, storage, or disposal facilities).

ADEM I.D. Number

- Enter the 4-digit number assigned by ADEM for this facility (462-__ __ __).

I.2. Facility Information

Facility Name

- Enter the name of the facility as registered with ADEM and the Fund.

Facility Address

- Enter the facility address as registered with ADEM and the Fund.

I.3. Legal Description of Property Where Facility is Located

- Enter the legal description of the property where the facility is located.

I.4. Owner/Operator Information

Owner/Operator Name

- Enter the legal entity owning or operating the drycleaner or wholesale distributor.

Type of Legal Entity

- Check the type of legal entity.

Firms or Corporations

- List the names, titles, and addresses of all officers and board members if applicable.

Partnership

- List the names, titles, and addresses of all partners if applicable.

Owner/Operator Address

- Enter the current address of the legal entity.

Owner/Operator Telephone Number

- Enter the telephone number of the legal entity, including area code.

Owner/Operator Fax Number

- Enter the fax number of the legal entity, including area code.

Owner/Operator E-Mail Address

- Enter the e-mail address of the legal entity.

Owner Tax Number (IRS)

- Enter the IRS employer tax number of the legal entity.

Owner/Operator Account Number

Enter the owner/operator Fund account number (Alabama Department of Revenue).

I.5. Owner/Operator Contact Person

- The owner or operator should assign a contact person to represent the owner/operator before the Board in the absence of the owner or operator.

Contact Person Name

- Enter the name of the individual who will represent the owner or operator.

Address of Contact Person

Enter the mailing address of the contact person.

Contact Person Position

- What is the relationship to the owner or operator (officer of company, consultant, etc.)?

Contact Person Telephone Number

- Enter the telephone number of the contact person, including area code.

Contact Person Fax Number

- Enter the fax number of the contact person, including area code.

Contact Person E-Mail Address

- Enter the e-mail address of the contact person.

I.6. Property Owner Information

- If the owner of the property where the drycleaning facility or wholesale distributing facility is located is not the owner/operator of the drycleaning or wholesale distributing facility, complete this part. If owner/operator and property owner are the same legal entity, enter N/A in property owner space.

Property Owner Name

- Enter the name of the legal entity owning the property where the drycleaning facility or wholesale distributing facility is located.

Property Owner Address

- Enter the complete mailing address of the property owner.

Property Owner Telephone Number

- Enter the telephone number of the property owner, including area code.

Property Owner Fax Number

- Enter the fax number of the property owner, including area code.

Property Owner E-Mail Address

- Enter the e-mail address of the property owner.

I.7. Approved Drycleaner Environmental Consultant (ADEC) Information**ADEC Name**

- Enter the name of the consultant retained by the owner/operator as it appears on the Board's ADEC list. If name has changed, a revised ADEC application should be submitted to the Board.

ADEC Address

- Enter the complete mailing address of the appropriate ADEC office.

ADEC Telephone Number

- Enter the telephone number of the appropriate ADEC office, including area code.

ADEC Fax Number

- Enter the fax number of the appropriate ADEC office, including area code.

ADEC E-Mail Address

- Enter the e-mail address of the appropriate ADEC office.

Project Contact

- Enter the name of the designated contact for this project.

Position of Project Contact

- Enter the position of the project contact within the ADEC organization.

Project Contact Telephone Number

- Enter the telephone number of the project contact, including area code.

Project Contact Fax Number

- Enter the fax number of the project contact, including area code.

Project Contact E-Mail Address

- Enter the e-mail address of the project contact.

I.8. Designation of Payment**Name of Person or Firm to Whom Payment is Made**

- Enter the name as it should appear on any payment check.

Address

- Enter the complete mailing address of the name or firm to whom payment is made.

I.9. Activity Information**Indicate Below the Activities for Which Payment is Requested**

- Check the appropriate activities as listed on the form. Activities not specifically listed should be included under "other."

Provide Completion Date for Activities Conducted

- Enter the completion date for the activities listed under item I.9 which were conducted under the coverage of this payment request.

List the Major Activities Conducted During this Phase of Work

- Enter all major activities into the appropriate fields on the form. Activities should be listed as shown in the related cost proposal. The depth in feet should be the total footage drilled. Example: Hand augered four 10' borings, installed six 20' soil borings and converted four of the six borings to monitoring wells:

1. Number of hand auger borings 4 Depth 40 Feet

2. Total number of soil borings 6 Depth 120 Feet

3. Number of soil borings converted to temporary MWs: 0

Total Depth: 0 Feet Total Feet: 0 Feet

4. Number of soil borings converted to permanent MWs: 4

Total Depth: 20 Feet Total Feet: 80 Feet

List the other major activities conducted during this phase of work.

Indicate Provision of Alternate Water Supply

- Enter the type of temporary water supply being provided (i.e. bottled water, or hauled water) and the number of residences to be served.
- Enter the type of permanent alternate water supply to be provided (i.e. new water supply well, hook-up to public water supply lines). Indicate the name of the community or persons to be served.

I.10. Subcontractor Information

Indicate Subcontractors Used

- List the names of all subcontractors utilized in this phase of work and indicate the services the subcontractor provided.

I.11. Prior Activity Information

Indicate Services Conducted at Site Prior to this Work Phase

- List the major activities previously conducted at this site.

I.12. Certification of Actual Release of Drycleaning Agent

- The owner or operator must sign this form documenting that an actual release of drycleaning agent occurred at the site. Failure to sign this form will result in the denial of coverage for site activities. The owner or operator must sign the form, type or print their name, and the date of signing.

I.13. Certification of Reasonable and Eligible Costs

- Owners/operators and ADEC must sign this signature area in order for the payment request to be processed. This certification is an affidavit that all costs being requested for payment were actually expended during the release response actions.

I.14. Certification for Payment

- Signatures must be provided certifying that the ADEC has been paid in full or that all payments to the ADEC have not been made. This should correspond with the name of the person or firm to whom payment will be made as indicated in item I.8.

I.15. Trust Fund Obligation Information

Total of Previously-Approved Payment Requests

- Enter the total value of all previously-approved payments by calendar year. For example:

2002	\$200,000
2003	<u>\$100,000</u>
TOTAL	\$300,000

Total Payments Requested this Calendar Year

- Enter the total payments paid during this calendar year plus the value of the currently-proposed payment request. If several payment requests have been submitted at the same time, include the pending payment request for each submitted payment request.

Estimated Percent Completion of Project

- Enter the estimated percent completion of the project. This is the estimated completion based on costs, not activities or time.

I.16. Payment Request Amount

Payment Request Sum of Items 1. through 7. form of Part II

- Enter the total of the claims for payment for the entire payment request under the heading "Payment Request."

Owner's Required Contribution for Releases of Drycleaning Agent from Drycleaning Facilities

- For payment request number one (1). only, enter the required deductible of \$10,000. For all other payment requests, check that the deductible has already been paid and leave this field blank.

Owner's Required Contribution for Releases of Drycleaning Agent from Drycleaning Facilities

- For payment request number one (1). only, enter the required deductible of \$50,000. For all other payment requests, check that the deductible has already been paid and leave this field blank.

Total of this Payment Request

- Enter the total requested amount (minus the deductible when applicable).

I.17. Certification of Fee Payment.

- The owner/operator must sign the certification that all fees required by “The Act” have been made to the Department of Revenue. If the fee payments are not up to date, payments can not be authorized by the Board.

I.18. Certification of True, Accurate, and Complete Information.

- The owner/ operator and ADEC must complete and sign the certification. Failure for both parties to sign will result in denial of payment.

I.190. Board Approval Signatures

- This section is for Board use only. These are the approval signatures required to authorize payment for each payment request.

PART II – ALABAMA DRYCLEANING ENVIRONMENTAL RESPONSE TRUST ADVISORY BOARD SUMMARY OF CHARGES FORM

Summary of Charges (Pages 1 through 3)

Pages 1 through 3 contain seven sections where the subtotals for the various conducted activities are to be listed. Requested costs to be reimbursed are to be listed under the “Requested Cost” column. No information should be listed under the area entitled “For Board Use only.” This area is for the Board’s review comments and final approval amounts. These pages are utilized as summary sheets and should be filled out to represent the details listed on Part III, Forms A through J.

PART III – ITEMIZATION FORMS

Alabama Drycleaning Environmental Response Trust Advisory Board – Personnel Supplementary Itemization Form “A”

All proposed field and office personnel who are eligible to be listed on this form are to be listed under the column “Title.” The titles of the personnel are required to be listed on the payment request. Terms such as Principal, Project Manager, Geologist, Engineer, Technician, Clerical, etc. should be listed.

The Contractor (ADEC) Invoice No. must be included. The invoice number should correspond to the actual invoices attached to the payment request form.

Billable rates per job title are to be listed in the column labeled “Billable Rate.” Proposed rates which exceed reasonable rates will be adjusted to reflect those rates which are allowable for reimbursement.

The total proposed hours per job are to be listed in the column labeled “Total Hours.”

The column “Total” will be a total of the billable rate multiplied by the proposed total hours for each major job title.

The total personnel costs should be stated at the bottom of the page in the field marked “Total Personnel Cost.”

If a firm needs more than one page to propose the information for the particular phase of work, additional copies of Board Form A may be submitted.

Alabama Drycleaning Environmental Response Trust Advisory Board – Personnel Itemization Form “B”

This form is for a detailed listing of which individuals performed the tasks to this phase of work. Individual names are to be listed with the tasks listed. Details must be presented. The Board will not accept such vague descriptions as "Project Management" without a brief description of what project management activities were conducted.

Names of the individuals and their titles are to be listed under the column labeled "Name of Individual & Title."

The number of hours for each specific task are to be listed by the name of the individual who conducted that particular task.

A description of the basic job task performed should be listed opposite the individual's name and the number of hours for that task.

The actual dates, month, day, and year for the start and finish of that task are to be listed in the last column. These dates must correspond with actual invoice dates on the attached invoices.

Alabama Drycleaning Environmental Response Trust Advisory Board – Field Equipment Itemization Form "C"

This form is to contain only proposed costs allowed by the Board for rental or O&M costs for standard equipment utilized in drycleaning agent site assessments. The maximum allowable rates for the equipment are listed on the Board's current Reasonable Rate Schedule. Miscellaneous field items such as bailer, rope, etc., which are purchased, should also be listed on this form.

Alabama Drycleaning Environmental Response Trust Advisory Board – Mileage Itemization Form "D"

Form D is for mileage costs incurred during the particular phase of work. Mileage is limited to the rate allowed on the current Reasonable Rate Schedule. The information should be listed under the proper heading on this form. The column labeled "Contractor Invoice Number" should contain the invoice number which corresponds to attached invoices.

Rental vehicles are not eligible for reimbursement. Reimbursement mileage costs are limited to 900-miles round trip or 450 miles each way.

Alabama Drycleaning Environmental Response Trust Advisory Board – Per Diem Itemization Form "E"

Reimbursable per diem is limited to ADEC personnel and the drilling crew. The drilling crew's per diem must be listed on Form F. Form E is to be utilized for per diem claimed by personnel employed by the ADEC. Dates of travel, destinations, initials of personnel (which should match personnel listed on Form B), hours of departure and hour of return to the office, and the amount of per diem claim shall be listed on the form.

The contractor (ADEC) invoice numbers must be listed in the appropriate column and must match that per diem charged on attached invoices. Allowable per diem rates are listed on the current Board Reasonable Rate Schedule.

Per diem is only reimbursable for travel outside of the ADEC's or driller's home base county. For example, a firm located in Montgomery cannot receive per diem for a job conducted in Montgomery County.

Alabama Drycleaning Environmental Response Trust Advisory Board – Well Drilling Itemization Form "F"

The subcontractor and contractor (ADEC) invoice numbers must be included on this form.

Mobilization/Demobilization:

- The type of rig shall be indicated in the field labeled "Type of Rig."
- The base rate being proposed shall be listed in the slot preceding the word "Rate" under the "Unit Price" column.
- The number of miles traveled shall be listed in the slot preceding the word "Miles."
- The proposed rate per mile shall be listed in the slot "\$____/mile."

- The total mob/demob fee shall be listed under the “Total” column.

Drill Soil Borings with . . .

- The type of rig shall be indicated in the field labeled “Type of Rig.”
- The rate being proposed for drilling, sampling, and abandoning the proposed soil boring shall be inserted into the “\$/ft x ft” slot. The total costs for drilling, sampling, and abandoning the soil borings shall be listed under the “Total” column.
- Maximum allowable drilling rates are listed on the current “Reasonable Rate Schedule.”

“Driven Point” Technology

- The type of rig shall be indicated in the field labeled “Type of Rig.”
- The proposed rate (per day, per hole, etc.) should be indicated.
- The total cost for this technology should be under the “Total” column.

Drill and Install 2” MWs . . .

- The proposed costs to drill, sample, and install the wells are to be listed in this field.
- The type of rig utilized for the drilling is to be listed under the column “Type of Rig.”
- The proposed drilling rate per foot and the total footage to be drilled are to be listed under the “Unit Price” column.
- Maximum reimbursable rates are listed on the current “Reasonable Rate Schedule.”

Drill and Install 4” MWs . . .

- The proposed costs to drill, sample, and install the wells are to be listed in this field.
- The type of rig utilized for the drilling is to be listed under the column “Type of Rig.”
- The proposed drilling rate per foot and the total footage to be drilled are to be listed under the “Unit Price” column.
- Maximum reimbursable rates are listed on the current “Reasonable Rate Schedule.”

Drill and Install Telescoping Well(s) . . .

- The proposed costs to drill, sample, and install the well(s) are to be listed in this field.
- The type of rig utilized for the drilling is to be listed under the column “Type of Rig.”
- The proposed drilling rate per foot and the total footage to be drilled are to be listed under the “Unit Price” column.
- Maximum reimbursable rates are listed on the current “Reasonable Rate Schedule.”

Drill and Install Groundwater Recovery Well(s) . . .

- The proposed costs to drill, sample, and install the well(s) are to be listed in this field.
- The type of rig utilized for the drilling is to be listed under the column “Type of Rig.”
- The proposed drilling rate per foot and the total footage to be drilled are to be listed under the “Unit Price” column.
- Maximum reimbursable rates are listed on the current “Reasonable Rate Schedule.”

Monitoring Well Abandonment

- The proposed costs to drill, sample, and install the well(s) are to be listed in this field.
- The type of rig utilized for the drilling is to be listed under the column “Type of Rig.”
- The proposed drilling rate per foot and the total footage to be drilled are to be listed under the “Unit Price” column.

- Maximum reimbursable rates are listed on the current “Reasonable Rate Schedule.”

Subsistence Allowance

- The proposed subsistence allowance should be entered in the “Unit Price” column. Each man/woman is allowed a daily per diem based on the time in the field and the maximum allowable rate per the current “Reasonable Rate Schedule.” Per diem allowed for overnight trips only.

Pass-Through Allowance

- A pass-through is allowed for drilling activities only if the drilling was subcontracted outside of the ADEC firm.
- A maximum pass-through of 5% is allowed and is based on the value listed in the subtotal column.

Supply the Following Information . . .

- The number of wells drilled, diameter of wells, depth of wells, and proposed cost per foot (which includes mob/demob, drilling, and per diem costs) must be listed in this chart.

Alabama Drycleaning Environmental Response Trust Advisory Board – Analytical Itemization Form “G”

Form G is to contain proposed costs associated with analyses of soil and water samples. The Board does not reimburse for overnight charges or rush charges unless prior written approval is obtained from the Department and the Board is a correspondent or receives a copy of the written approval.

The proposed analytical method should be listed under the first column. Contractors (ADEC) should list the number of samples to be analyzed in the column headed “Number of Tests.” The “Cost Per Test” column should contain the proposed cost for the test to reflect the amount being charged by the analytical laboratory not to exceed rates of similar analyses submitted to the Board or established maximum reasonable rates. Where proposed rates exceed the maximum reasonable rates, the Board will adjust these costs to reflect approval of only reasonable rates. QA/QC samples are eligible for reimbursement. Contractor (ADEC) and subcontractor invoices must be included within the appropriate columns.

Pass-through charges are only allowed for subcontracted analytical work. No in-house analyses will be allowed a pass-through.

Alabama Drycleaning Environmental Response Trust Advisory Board – Office Expenses Itemization Form “H”

Form H is to be utilized for office expenses which include shipping costs, permit charges, long distance phone costs, copies, etc. Shipping is allowable for samples to be sent to the laboratory and for equipment being shipped to the Contractor’s (ADEC) office or the drycleaning agent site. Invoice numbers are required to be entered on the payment request.

Form H is also utilized for costs for permits required to be obtained by ADEM or other governmental agency. A description of the type of permit applied for and the permit fee are to be listed on this form. Invoice numbers should be included when available.

Alabama Drycleaning Environmental Response Trust Advisory Board – Capital Expenditure Itemization Form “I”

Form I is to be utilized for the listing of items purchases and to be dedicated to the site. Items to be listed on this form would include skimmer pumps and water treatment systems.

A description of each item should be listed in the column headed “Description of Each Item.” The model number should be listed under the heading of “Model & Serial No.” The “Contractor (ADEC) Invoice” column must be

completed upon submittal of the payment request. The cost of the equipment should be inserted into the “Cost” column. Serial numbers must be included on this form.

Alabama Drycleaning Environmental Response Trust Advisory Board – Waste Disposal/Treatment Itemization Form “J”

Form J should contain waste disposal/treatment costs to include soil management rates, soil disposal costs, soil transportation rates, water disposal costs, etc. The costs for soil excavation should be included on this form on a per unit basis (per day, per ton, per hour, etc.).

Costs for soil excavation must include the volume of soil to be excavated, hauled, etc. and the rate per cubic yard or ton being charged. Reasonable rates for these items are listed on the most current Board Reasonable Rate Schedule. Invoice numbers must be included on this form.

Pass-through charges are only allowed for subcontracted services such as soil removal, soil hauling, disposal, etc.

Additional Proposed Items

Additional pages of Forms A through J should be utilized where activities are distinctly separate or where more than one page is necessary to submit the proposed activities. Additional supporting information may be submitted in a cover letter to be attached to each payment request.

Invoices

Invoices for all items must be submitted with the payment request as an attachment. Invoices will include invoices from both the ADEC and all subcontractors utilized at the site. Items listed on Part II and III on the payment request for which no invoices were submitted will not be paid.